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TRANSMITTAL FORM

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Total Number of Pages in This Submission

Application Number	10/010,786
Filing Date	November 9, 2001
First Named Inventor	Vlad Novotny
Art Unit	2874
Examiner Name	Valencia, Daniel E.
Attorney Docket Number	13441-002001[AO-777]

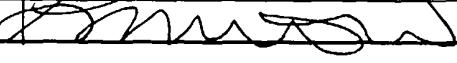
ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment/Reply <input checked="" type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> A copy of the 4/15/03 Information Disclosure Statement; 4 pages PTO-1449 and the <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to a Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Receipt Postcard for Final Office Action;
Remarks Return Receipt Postcard date stamped 4/18/03 from the OIPE indicating all items were received. Examiner Valencia has requested a copy of the cited references from 4/15/03 which are also included.		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual	Silicon Edge Law Group Arthur J. Behiel, Patent Attorney
Signature	
Date	August 22, 2003

CERTIFICATE OF TRANSMISSION/MAILING

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This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Vlad J. Novotny, Yee-Chung Fu and Zuo Wang

Assignee: Active Optical Networks, Inc.

Title: "Micro-Electro-Mechanical Variable Optical Attenuator"

Serial No.: 10/010,786 Filed: 11/09/2001

Examiner: Valencia, Daniel E. Tel: 703-305-4399

Docket No.: 13441-002001 Art Unit: 2874

Box DD
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Washington, D.C. 20231

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §1.56, §1.97 and §1.98, Applicants bring the 31 documents listed on the enclosed form PTO-1449 to the Examiner's attention in the above-captioned application. Citation of the listed documents shall not be construed as:

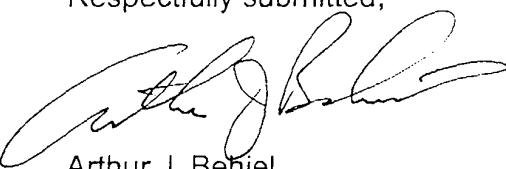
1. an admission that the documents are necessarily prior art with respect to the instant application;
2. a representation that a search has been made; or
3. an admission that the information cited is, or is considered to be, material to patentability as defined in §1.56(b).

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4/15/03
Date


Laurie Moreno

Respectfully submitted,


Arthur J. Behiel
Attorney for Applicants
Reg. No. 39,603

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Sheet 1 of 4

U.S. Department of Commerce, Patent and Trademark Office		Serial No.: 10/010,786
		Filing Date: 11/09/2001
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Inventors: Novotny, et al.
"MICRO-ELECTRO-MECHANICAL VARIABLE OPTICAL ATTENUATOR"		Group Art Unit: 2874
		Examiner Name: Valencia, Daniel E.
		Attorney Docket No.: 13441-002001

U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date, If Appropriate
	AA	6,301,403 B1	10/09/01	Heanue et al.	385	18	
	AB	6,253,001 B1	06/26/01	Storrs T. Hoen	385	17	
	AC	6,028,689	02/22/00	Michalicek et al.	359	224	
	AD	5,872,880	02/16/99	Ronald S. Maynard	385	88	
	AE	6,283,601 B1	09/04/01	Hagelin et al.	359	871	

Foreign Patent Documents

							Translation	
		Document Number	Date	Country	Class	Subclass	Yes	No
	AF							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AG	"ROUTING PACKETS WITH LIGHT," Daniel J. Blumenthal. Scientific American, pages 96-99. January 2001.
	AH	"Construction and performance of a 576x576 single-stage OXC," Herzl Laor. LEOS, San Francisco, California, 3 pages. November 8, 1999.
	AI	"Application of micro- and nanotechnologies for the fabrication of optical devices," Wolfgang Ehrfeld and Hans-Dieter Bauer. SPIE Vol. 3276, page 2 and pages 4-14.
	AJ	"PERFORMANCE OF A 576x576 OPTICAL CROSS CONNECT," Laor, et al. NFOEC, Chicago, Illinois, pages 1-5. September 26, 1999.
	AK	"Control and shape design of an electrically-damped comb drive for digital switches," Yijian Chen. Proceedings of SPIE Vol. 4178, 2000. Pages 387-394.

Examiner	Date Considered
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.

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U.S. Department of Commerce, Patent and Trademark Office		Serial No.: 10/010,786
		Filing Date: 11/09/2001
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"Micro-Electro-Mechanical Variable Optical Attenuator"		Group Art Unit: 2874
		Examiner Name: Valencia, Daniel E.
		Attorney Docket No.: 13441-002001

U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date, If Appropriate
	AL						

Foreign Patent Documents

		Translation					
	Document Number	Date	Country	Class	Subclass	Yes	No
	AM						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AN	"THE RISE OF OPTICAL SWITCHING," David J. Bishop et al. Scientific American, pages 88-94. January 2001.
AO	"A LARGE-DEFLECTION ELECTROSTATIC ACTUATOR FOR OPTICAL SWITCHING APPLICATIONS," John D. Grade, Hal Jerman and Thomas W. Kenny. Presented at Hilton Head, 2000. 4 pages.
AP	"FLIP CHIP CHALLENGES," Steve Bezuk, PH.D. General Manager, Applied Technology Development and Flip Chip Kyocera America, Inc. First published in HDI Magazine, February 2000. 6 pages.
AQ	"MEMS Feedback Control Using Through-Wafer Optical Device Monitoring," J.M. Dawson, et al. Proceedings of SPIE Vol. 4178, 2000. Pages 221-227.
AR	"A FLAT HIGH-FREQUENCY SCANNING MICROMIRROR," Robert A. Conant, et al. 2000 Solid-State Sensor & Act Workshop, Hilton Head, S.C., June 4-8, 2000.
AS	"The Surface/Bulk Micromachining (SBM) Process: A New Method for Fabricating Released MEMS in Single Crystal Silicon," Sangwoo Lee, et al. Journal of Microelectromechanical Systems, Vol. 8, No. 4, December 1999. Pages 409-416.
AT	"MEMS actuators for silicon micro-optical elements," Norman C. Tien and Daniel T. McCormick. Proceedings of SPIE Vol. 4178, 2000. 256-267.

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U.S. Department of Commerce, Patent and Trademark Office		Serial No.: 10/010,786
		Filing Date: 11/09/2001
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Inventors: Novotny, et al.
"Micro-Electro-Mechanical Variable Optical Attenuator"		Group Art Unit: 2874
		Examiner Name: Valencia, Daniel E.
		Attorney Docket No.: 13441-002001

U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date, If Appropriate
	AU	5,724,123	03/03/98	Tanaka	356	5.01	
	AV	6,320,993B1	11/20/01	Laor	385	16	
	AW	6,252,466 B1	06/26/01	J. Patrick Kawamura	331	25	
	AX	6,097,859	08/01/00	Solgaard et al.	385	17	

Foreign Patent Documents

							Translation	
		Document Number	Date	Country	Class	Subclass	Yes	No
	AY							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AZ	"Lightweight, Optically Flat Micromirrors for Fast Beam Steering," Jocelyn T. Nee, et al. Presented at IEEE/LEOS Optical MEMS 2000 Conference, August 21-4, 2000, Kauai, Hawaii, USA. 2 pages.
BA	"Optical MEMS for Optical Communications - Trends and Developments," Veljko Milanovic. Adriatic Research Institute. Pages 2-6. Downloaded December 20, 2001.
BB	"Silicon micromachines for lightwave networks: the little machines that will make it big," by David Bishop. December 2000. SPIE's Optics & Information Systems. 8 pages.
BC	Topical Review "The future of MEMS in telecommunications networks," James A. Walker. J. Micromech, Microeng.10(2000)R1-R7. Printed in the UK.
BD	D.J. Bishop Presentation, "Silicon Micromachines for Lightwave Networks: Can Little Machines Make it Big?" Lucent Technologies, Bell Labs Innovations. 83 pages. February, 1999.

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U.S. Department of Commerce, Patent and Trademark Office		Serial No.: 10/010,786
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"Micro-Electro-Mechanical Variable Optical Attenuator"		Group Art Unit: 2874
		Examiner Name: Valencia, Daniel E.
		Attorney Docket No.: 13441-002001

U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date, If Appropriate
	BE	6,075,239	06/13/00	Aksyuk et al.	250	229	
	BF	6,246,826 B1	06/12/01	O'Keefe et al.	385	140	
	BG	6,173,105 B1	01/09/01	Aksyuk et al.	385	140	
	BH						

Foreign Patent Documents

							Translation	
		Document Number	Date	Country	Class	Subclass	Yes	No
	BI							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	BJ	"Fiber coupling (1 x 2 beam splitter)." Development Editor: Marleen Madou; Publisher: Ron Powers; Project Editor: Paul Gottehrer; and Cover Design: Denise Craig. 1997 by CRC Press LLC. 4 pages.
	BK	United States Patent Application Publication, "Latching Apparatus for a MEMS Optical Switch," by Zhang et al. Pub. No.: US 2002/0172452 A1, Pub. Date: November 21, 2002. Appl. No.: 09/860,300, filed May 18, 2001.
	BL	
	BM	
	BN	

Examiner	Date Considered
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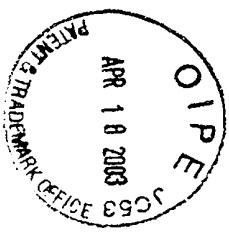
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Inventor: Vlad Novotny et al.
Title: "MICRO-ELECTRO-MECHANICAL VARIABLE OPTICAL ATTUNATOR"
Serial No.: 10/010,786
Filing Date: November 9, 2001
Docket No.: 13441-002001

Enclosed are:

- 1 Page PTO/SB/21 Transmittal Form
- 1 Page PTO/SB/17 Fee Transmittal for FY 2003
- 1 Page PTO/SB/06 Patent Application Fee Determination Record
- 43 Pages Amendment in Response to First Office Action
- 1 Page PTO/SB/22 Petition for Extension of Time Under 37 CFR 1.136 (a)
- 1 Page Supplemental Information Disclosure
- 4 Pages PTO-1449 citing 31 documents
- 1 Copy of each document cited on PTO-1449
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Tuesday, April 15, 2003

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